



PTO/SB/21 (08-00)

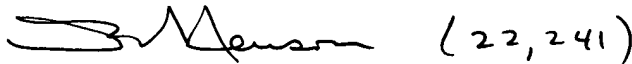
Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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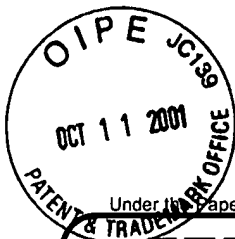
<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	<b>Application Number</b>	09/897,437
	<b>Filing Date</b>	07/03/2001
	<b>First Named Inventor</b>	RAM, PRANIL
	<b>Group Art Unit</b>	2164
	<b>Examiner Name</b>	
<b>Total Number of Pages in This Submission</b>		<b>Attorney Docket Number</b> 6406-1 (B)

<b>ENCLOSURES (check all that apply)</b>		
<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input checked="" type="checkbox"/> Assignment Papers (for an Application) <input checked="" type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosure(s) (please identify below):
<b>Remarks</b>		

<b>SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT</b>	
Firm or Individual name	Donald E. Hewson (Marks & Clerk)
Signature	 (22,241)
Date	October 10, 2001

<b>CERTIFICATE OF MAILING</b>			
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: <input type="text"/>			
Typed or printed name			
Signature		Date	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



PTO/SB/17 (10-01)

Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 2593.00

**Complete if Known**

Application Number	09/897,437
Filing Date	07/03/2001
First Named Inventor	RAM, Pranil
Examiner Name	
Group Art Unit	2164
Attorney Docket No.	6406-1 (B)

**METHOD OF PAYMENT**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 08-2040  
Deposit Account Name: Marks & Clerk

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17☒ Applicant claims small entity status. See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:

☐ Check ☒ Credit card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	370.00
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$) 370.00

**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
232	-20** = 212	9.00	1908.00
8	-3** = 5	42.00	210.00
Multiple Dependent			

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 2118.00

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	65.00
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	40.00
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 105.00

**SUBMITTED BY**

Name (Print/Type)

Donald E. Hewson

Registration No.  
(Attorney/Agent)

22,241

Complete (if applicable)

Telephone

905-272-2252

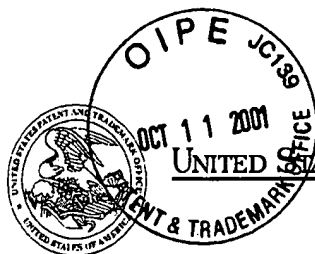
Signature

Date

10/10/2001

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/897,437	07/03/2001	Pranil Ram	6406-1

CONFIRMATION NO. 8157

## FORMALITIES LETTER



\*OC000000006455590\*

23477  
DONALD E. HEWSON  
350 BURNHAMTHORPE ROAD WEST  
SUITE 402  
MISSISSAUGA, ON L5B 3J1  
CANADA

Oct. 21/01  
File Missing Parts

Date Mailed: 08/21/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$4216.
  - \$3816 for 212 total claims over 20.
  - \$400 for 5 independent claims over 3.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 5056.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

10/15/2001 MBELETE1 00000023 09897437

01 FC:201	370.00 OP
02 FC:205	65.00 OP
03 FC:202	210.00 OP
04 FC:203	1908.00 OP

RECEIVED

MARKS &amp; CLERK - MISSISSAUGA

# Marks & Clerk

Patent and Trade-Mark Agents

Suite 402, 350 Burnhamthorpe Road West  
Mississauga, Ontario L5B 3J1, CANADA



Telephone: (905) 272-2252  
Facsimile: (905) 272-2557  
e-mail: dhewson@to.markclerk.com

Please reply to: Donald E. Hewson

Our Ref: 6406-1(B)  
Your Ref:

Wednesday, October 10, 2001

The Commissioner of Patents  
The United States Patent Office  
Crystal Plaza Two  
2011 Jefferson Davis Highway  
Arlington, Virginia  
22202 U.S.A.

Dear Sir:

Re: United States Patent Application Serial No.: 09,897,437, Filed: 07/03/2001  
Inventors: RAM et al  
Title: **INTERACTIVE GRID-BASED GRAPHICAL TRADING SYSTEM  
FOR REAL TIME SECURITY TRADING**  
Group Art Unit: 2164  
Confirmation No.: 8157

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This is responsive to the Notice to File Missing Parts of Application, Filing Date Granted, mailed August 21, 2001, in the above application.

Please find **enclosed** herewith the following:

1. Declaration for Patent Application, executed by the inventors herein.
2. Power of Attorney document, executed by the inventors on August 12, 2001.
3. Copy of Notice to File Missing Parts of Application which is required to be returned with the submission of the required documents.
4. Assignment Papers and Recordation Cover Sheet.
5. New drawings (55 Figures, 55 Sheets).

- 1 652 : 50
6. An authorization to pay \$2,593.00 US in payment of all requisite fees (see attached Fee Calculation Sheet), together with Credit Card Payment Form PTO-2038.

The Patent Office is authorized to charge any additional fees required to be paid, or to refund any overpayment of fees, to our Deposit Account 08-2040. A duplicate copy of this letter is **enclosed** herewith for use by the Cashier's Office.

It is believed that the filing requirements of the above application have now been met, and it is requested that this application be forwarded to the Examiner for his consideration, in due course.

If it will expedite prosecution of this application, the Examiner is cordially invited to telephone the undersigned, collect if necessary, at the telephone number noted above.

Respectfully submitted,  
**MARKS & CLERK**



Donald E. Hewson - Registration No.: 22,241  
DEH:nh  
Encls.

c.c. Yumi Inagaki, M&C (Mississauga) Accounting

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Encls.

c.c. Yumi Inagaki, M&C (Mississauga) Accounting